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SKJERVEN MORRILL LLP  
25 METRO DRIVE  
SUITE 700  
SAN JOSE, CA 95110

EXAMINER

FLEURANTIN, JEAN B

ART UNIT PAPER NUMBER

2172

DATE MAILED: 06/07/2002

Please find below and/or attached an Office communication concerning this application or proceeding.

## Office Action Summary

Application No.

09/545,045

Applicant(s)

ZHOU ET AL.

Examiner

Jean B Fleurantin

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☐ Responsive to communication(s) filed on \_\_\_\_.
- 2a) ☐ This action is FINAL. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-32 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-32 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on \_\_\_\_ is: a) ☐ approved b) ☐ disapproved by the Examiner.
- If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

### Priority under 35 U.S.C. §§ 119 and 120

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).
- a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

### Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☒ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO-1449) Paper No(s) 2.
- 4) ☐ Interview Summary (PTO-413) Paper No(s) \_\_\_\_.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_\_

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### **DETAILED ACTION**

1. Claims 1-32 are presented for examination.

#### ***Information Disclosure Statement***

2. The reference cited in the Information Disclosure Statement, PTO-1449, have been fully considered.

#### ***Drawings***

3. The Formal Drawings are required in response to this Office Action.

#### ***Claim Rejections - 35 U.S.C. § 103***

4. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

Claims 1-32 are rejected under 35 U.S.C. 103(a) as being unpatentable over Mahoney et al. (US Pat. No. 5,819,271) ("Mahoney").

As per claims 1 and 14, Mahoney substantially teaches a method for file sharing over a network (thus, the central repository server 2 is coupled via a central site 1 to one or more remote corporation workstations 18 the corporation workstations 18 are used by corporations to submit corporation information to the repository server 2 optionally, the corporate workstations 18 are coupled to the repository server 2 via proprietary network comprising a plurality of contributor servers 22 alternatively or additionally a corporation workstation 18 may provide corporate

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information to the repository server 2 via the Internet; which is readable as file sharing over a network)(see col. 8, lines 54-63) as claimed comprises the step of receiving a request for a first file from a first computer to a second computer via the network, wherein the first file is on a third computer (thus, the information that is provided to users is stored in electronic form at a central server called a repository server ideally users communicate with the repository server via the Internet the repository server is coupled to the Internet by a web server the repository server comprises or is coupled to a plurality of databases of information including corporate information and research reports stored in electronic form; which is readable as receiving a request for a first file from a first computer to a second computer via the network, wherein the first file is on a third computer) (see col. 6, lines 12-20);

determining whether a user of the first computer is permitted access to the first file (thus, there exists a need for a system for the electronic distribution of corporate information to those who a permitted to have access to and wish to access the information; which is readable as determining whether a user of the first computer is permitted access to the first file) (see col. 3, lines 31-34);

creating a web page description including an URL to the link (thus, a web server when returning an HTTP object to an Internet browser may also send a piece of state information which the Internet browser will store included in the state object is a description of the range of URLs for which that state is valid. Future HTTP requests made by the Internet browser which fall within that range will include a transmittal of the current value of the state object from the Internet

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browser to the web server; which is equivalent to creating a web page description including an URL to the link) (see col. 13, lines 20-27), and also in column 9, lines 60 through 64, Mahoney further teaches the system takes the bases URL of the final editorialized corporate template and links on that site are crawled each page is text indexed and each text index is associated with the sub-URL of the page; and

transmitting the web page description to the first computer via the network (thus, global computer networks such as the Internet enable information to be distributed to a wide range of people at locations around the world one of the many advantages of the Internet particularly the World Wide Web 'WWW', is that the communication protocols used are non-proprietary thus enabling end users to access and use the Internet without the need for customized hardware or software; which is readable as transmitting the web page description to the first computer via the network) (see col. 2, lines 46-52). But, Mahoney does not explicitly indicates the steps of creating a link on the second computer to the first file in response to the request for the first file if the user is permitted access. However, Mahoney implicitly indicates the step of the user initially accesses the web server the user is required to provide a user identification code 'ID' and a password the web server submits a login request to the CGI program to verify that no other user is using the same ID, once the user has provided the ID and password the repository server will determine what information that user is authorized to receive; which is readable as creating a link on the second computer to the first file in response to the request for the first file if the user is permitted access) (see col. 6, lines 36-43). Thus, it would have been obvious to a person of

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ordinary skill in the art at the time the invention was made to modify the teachings of Mahoney with the steps of creating a link on the second computer to the first file in response to the request for the first file if the user is permitted access. This modification would allow the teachings of Mahoney to improve the quality of the dynamic link, and provide end users to access and use the Internet without the need for customized hardware or software (see col. 2, lines 51-52).

As per claims 2 and 15, Mahoney substantially teaches a method as claimed, wherein the link is a Unix symbolic link (see cols. 6-7, 59-10).

As per claims 3 and 16, Mahoney substantially teaches a method as claimed, wherein the link is a text file containing a path to the first file on the third computer (thus, except for the third request listed above a query is formulated 'whose parameters are determined by the run-time arguments given to the CGI from the original HTTP request from the investor' by the web server 4 and sent to the appropriate databases 11, 13 a result set 'a list of reports and corporate information' is returned and stored in memory; which is readable as wherein the link is a text file containing a path to the first file on the third computer) (see col. 14, lines 37-43).

As per claims 4 and 17, Mahoney substantially teaches a method as claimed, further comprise authenticating the identity of the user file on the third computer (thus, each corporation submitting corporate information has the option of specifying those users or classes of users who are authorized to access that item of information additionally an item of corporate information can be divided into parts or pages and different users may be permitted to access different parts or

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pages of the information; which is readable as authenticating the identity of the user file on the third computer) (see col. 6, lines 52-58).

As per claims 5-6 and 18-19, Mahoney substantially teaches a method as claimed, further comprises a directory having a directory name comprising at least partially of a random string on the second computer subsequent to authenticating the identity of the user and prior to receiving the request for the first file, wherein creating the link on the second computer comprises saving the link in the directory (thus, when the user initially accesses the web server the user is required to provide a user identification code 'ID' and a password the web server submits a login request to the CGI program to verify that no other user is using the same ID; which is readable as a directory having a directory name comprising at least partially of a random string on the second computer subsequent to authenticating the identity of the user and prior to receiving the request for the first file, wherein creating the link on the second computer comprises saving the link in the directory) (see col. 6, lines 36-40).

As per claims 7 and 20, Mahoney substantially teaches a method as claimed, further comprises the steps of deleting the directory after transmitting the web page description (see col. 7, lines 24-30).

As per claims 8 and 21, Mahoney substantially teaches a method as claimed, further comprises the steps of determining if a first directory on the third computer has reached a predetermined capacity (thus, the repository server 2 provides investors with lists of reports and corporate information received from the workstations 14, 16, 18 and allows investors to request

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lists of reports and corporate information that fit certain criteria the investor can select reports and corporate information from these lists to down-load view and/or print generally lists of reports and corporate information are generated by web server 4; which is readable as determining if a first directory on the third computer has reached a predetermined capacity) (see col. 11, lines 16-23); and

if the first directory has reached the predetermined capacity, creating on the third computer a second directory with a second directory name that is sequentially incremented from a first directory name of the first directory (thus, the contributor of a report or corporate information can be notified that a particular investor has accessed that report and item of corporate information the repository server 2 maintains for each report and item of corporate information a list of those who accessed that report the repository server 2 can transmit that list or a statistical summary of that list to preserve privacy to the contributor on a regular basis and/or when requested by the contributor; which is readable as if the first directory has reached the predetermined capacity, creating on the third computer a second directory with a second directory name that is sequentially incremented from a first directory name of the first directory) (see col. 11, lines 24-31).

As per claims 9, 22 and 30, Mahoney substantially teaches a method as claimed, further comprises, the steps of searching for a first directory on the third computer that was last backed up and a second directory that was most recently created (thus, the corporate information for each corporation is arranged in two frames namely an index frame and a contents frame the index



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frame includes a topic hyperlink to various segments or types of the corporate information, e.g., 'corporate highlights', 'latest news', 'upcoming events', 'recent management presentations', 'annual and quarterly reports', and 'SEC documents', ideally the index frame will have mostly the same entries for each corporation; which is readable as searching for a first directory on the third computer that was last backed up and a second directory that was most recently created) (see col. 4, lines 35-43 ); and

backing up all directories on the third computer having directory names sequentially between a first directory name of the first directory and a second directory name of the second directory (thus, the repository server 2 maintains for each report and item of corporate information a list of those who accessed that report the repository server 2 can transmit that list or a statistical summary of that list to preserve privacy to the contributor on a regular basis and/or when requested by the contributor; which is readable as backing up all directories on the third computer having directory names sequentially between a first directory name of the first directory and a second directory name of the second directory) (see col. 11, lines 26-31).

As per claims 10-11 and 23-24, Mahoney substantially teaches a method as claimed, further comprises the steps of backing up a directory on the third computer that was previously backed up if the number of files currently in the directory is substantially less than the original number of files in the directory (thus, the repository server 2 maintains for each report and item of corporate information a list of those who accessed that report the repository server 2 can transmit that list or a statistical summary of that list to preserve privacy to the contributor on a regular

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basis and/or when requested by the contributor; which is readable as backing up a directory on the third computer that was previously backed up if the number of files currently in the directory is substantially less than the original number of files in the directory) (see col. 11, lines 26-31).

As per claims 12 and 25, in addition to the discussion in claim 1 above, Mahoney further teaches the steps of receiving a second file from the first computer to the second computer (thus, the contributor workstations 14, 16 are used brokerage and investment banking firms to submit investment reports to the repository server 2; which is readable as receiving a second file from the first computer to the second computer) (see col. 8, lines 42-48).

As per claims 13 and 26, Mahoney substantially teaches a method as claimed, further comprises the steps of saving the second file in the third computer with a file name that is sequentially incremented from a file name of a third file that was previously saved in the third computer (thus, the repository server 2 maintains for each report and item of corporate information a list of those who accessed that report the repository server 2 can transmit that list or a statistical summary of that list to preserve privacy to the contributor on a regular basis and/or when requested by the contributor; which is readable as saving the second file in the third computer with a file name that is sequentially incremented from a file name of a third file that was previously saved in the third computer) (see col. 11, lines 26-31)..

As per claim 27, in addition to the discussion in claim 1 above, Mahoney substantially teaches a system for file sharing over a network as claimed, comprises a file management agent (thus, the system takes the bases URL of the final editorialized corporate template and links on

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that 'site' are 'crawled' each page is text indexed and each text index is associated with the sub-URL of the page; which is readable as a file management agent) (see col. 9, lines 60-64);

a first storage, the first storage including a temporary directory (thus, the repository server 2 comprises or is coupled to at least two database servers 11, 13 each database server is coupled to a database storage device 10, 12; which is readable as a first storage, the first storage including a temporary directory) (see col. 10, lines 53-55); and

a link to the file in the temporary directory (thus, a link access database 50 determines who is allowed to navigate web links and provides multiple routes on a single link, which is readable as a link to the file in the temporary directory) (see col. 9, lines 62-64);

wherein the file transfer agent transmits a web page description including the link and subsequently deletes the temporary directory (thus, the user can select 'e.g., click on' a headline and have the complete report transferred from the repository server 2 to the user computer 6, 8 the user can select an entry in the synopsis column and have the synopsis displayed; which is readable as wherein the file transfer agent transmits a web page description including the link and subsequently deletes the temporary directory) (see col. 16, lines 63-67).

As per claim 28, the limitations of claim 28 are rejected in the analysis of claim 1 and 27 above, and this claim is rejected on that basis.

As per claims 29 and 31, Mahoney substantially teaches a method as claimed, further comprises the steps of a file control agent coupled to the file management agent, the file control agent providing save file locations and instructions to create new directories (thus, the system

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takes the bases URL of the final editorialized corporate template and links on that 'site' are 'crawled' each page is text indexed and each text index is associated with the sub-URL of the page; which is readable as a file control agent coupled to the file management agent, the file control agent providing save file locations and instructions to create new directories) (see col. 9, lines 60-64).

As per claim 32, Mahoney substantially teaches a method as claimed, further comprises the steps of a file index agent for accessing databases, the file index agent coupled to the file management agent (thus, the system takes the bases URL of the final editorialized corporate template and links on that 'site' are 'crawled' each page is text indexed and each text index is associated with the sub-URL of the page numerical data is indexed in tabular form a structured index is built of the total 'site' a media index is built of all media elements 'e.g. visuals/aurals' and tabular elements; which is readable as a file index agent for accessing databases, the file index agent coupled to the file management agent) (see col. 9, lines 60-67); and

a database coupled to the file index agent, the database providing directory and file information in the second storage (thus, a corporate register structured database 52 'an SQL server' is an index that points to each element on the corporate register based on industry/ticker/personnel data/products/etc; which is readable as a database coupled to the file index agent, the database providing directory and file information in the second storage) (see cols. 10-11, lines 64-3).

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5. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure. Lagarde et al. US Pat. No. 5,721,908 relates to a method and system for use of the World Wide Web and other sources of information; Sugiarto et al. US Pat. No. 6,278,449 relates to computer networks; Anuff et al. US Pat. No. 6,327,628,449 relates to a portal mechanism via which users gain access to resources at various network sites. Polnerow et al. US Pat. No. 5,918,628,227 relates to an on line directory service.

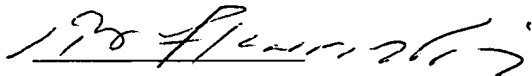
***Conclusion***

6. Any inquiry concerning this communication from examiner should be directed to Jean Bolte Fleurantin at (703) 308-6718. The examiner can normally be reached on Monday through Friday from 7:30 A.M. to 6:00 P.M.

If any attempt to reach the examiner by telephone is unsuccessful, the examiner's supervisor, Mrs. KIM VU can be reached at (703) 305-8449. The FAX phone numbers for the Group 2100 Customer Service Center are: ***After Final (703) 746-7238, Official (703) 746-7239, and Non-Official (703) 746-7240.*** NOTE: Documents transmitted by facsimile will be entered as official documents on the file wrapper unless clearly marked "***DRAFT***".

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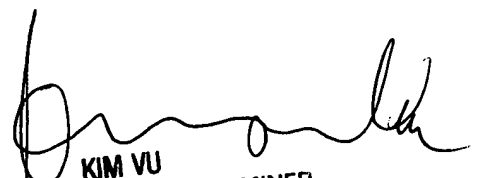
Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the Group 2100 Customer Service Center receptionist whose telephone numbers are (703) 306-5631, (703) 306-5632, (703) 306-5633.



Jean Bolte Fleurantin

May 18, 2002

JBF/



KIM VU  
SUPERVISORY PATENT EXAMINER  
TECHNOLOGY CENTER 2100